

OFFICE OF TRAFFIC SAFETY

GRANT CONCEPT PAPER INSTRUCTIONS

PROGRAM BACKGROUND

OTS distributes federal funding apportioned to California under the National Highway Safety Act and the Transportation Equity Act for the 21st Century (TEA-21). Grants are used to mitigate traffic safety program deficiencies, expand ongoing activity, or develop a new program. Grant funding cannot replace existing program expenditures, nor can traffic safety funds be used for program maintenance, research, rehabilitation, or construction.

OTS grants address traffic safety priority areas that are shown below:

Alcohol and Other Drugs - Includes funding for both enforcement and innovative high school education programs. Enforcement includes sobriety checkpoints, saturation patrols, and innovative strategies targeting multiple DUI offenders who violate probation or fail to appear in court.

Applicants are encouraged to submit concept papers that include funding for proven “anti-DUI” high school education program such as the “Every 15 Minutes,” “Reality Check,” “Real DUI Trials” and other effective high school education programs. Funding for enforcement and education programs may include overtime, contractual services, full time personnel, allowable operating costs and equipment such as Evidential Portable Alcohol System devices and DUI checkpoint trailers.

Police Traffic Services - Includes funding for vehicle impound programs targeting driver’s with suspended and/or revoked licenses, seat belt and red light running enforcement and other primary collision factor violations. Items eligible for funding include full time personnel and overtime, as well as specialized equipment such as motorcycles, visible display radar trailers, speed measuring devices, and handheld computers for issuing citations and DUI arrests.

Emergency Medical Services (EMS) - This year OTS will give priority funding consideration to *regional* EMS concept papers that include a comprehensive local needs assessment of equipment for multiple agencies. Single EMS agency funding requests are discouraged. OTS provides funding for the purchase of ambulances, rescue vehicles, extrication equipment, and miscellaneous medical equipment and supplies. Please consult the attached funding criteria page (www.ots.ca.gov/grants/files/apply/FundingCriteria_ots67.doc) for information regarding partial funding restrictions.

Traffic Records/Roadway Safety - Includes funding for automated collision/citation database applications to enable public works (city and county) and police departments to track, identify, analyze, and display collision and citation data in a geographic information system format. Funding is also available for vehicle speed feedback signs, flashing beacons at school crosswalks, in-roadway warning lights at crosswalks, and countdown pedestrian signals. Federal requirements prohibit the funding of construction or installation costs.

Occupant Protection - Includes funding for programs designed to increase seat belt use through the promotion of innovative public awareness and education strategies, such as “High School Seat Belt Challenge” programs. OTS also will fund a limited number of child safety seat concept papers.

Concept papers should address education, training, enforcement, public information, and may include personnel, educational materials, and child restraint devices.

Pedestrian and Bicycle Safety - Includes programs to increase safety awareness and skills among pedestrians and bicyclists. Concepts may encompass activities such as safety programs, education, enforcement, traffic safety and bicycle rodeos, safety helmet distribution, and court diversion programs for safety helmet violators.

QUALIFIED AGENCIES

Governmental Agencies

California Vehicle Code Sections 2908 and 2909 provide for the apportionment of federal highway safety funds through OTS to state and local governmental agencies. In accordance with these statutes, OTS is unable to directly fund community-based organizations (CBOs). State or local agencies can apply for OTS grant funding and in turn sub-grant to non-profit agencies including CBOs. These state or local agencies are referred to as “host” agencies. In developing concepts, applicant agencies are encouraged to work with CBOs and incorporate a multi-disciplinary approach to address traffic safety problems.

Community-Based Organizations (CBOs) - For OTS grant purposes, CBOs are defined as non-profit, non-governmental agencies organized to work together on a community-based traffic safety issue, need, or problem. The effectiveness of public safety projects relies heavily on community access. CBO/governmental agency alliances enhance community access and message credibility. Concept papers may include CBOs as key stakeholders in promoting traffic safety within individual communities.

RESOURCES www.ots.ca.gov

The OTS website includes three Sample Concept Papers (www.ots.ca.gov/grants/concept.asp.) Included in the samples are: (1) a comprehensive traffic safety program that incorporates impaired driving countermeasures, bicycle and pedestrian safety, and occupant protection; (2) an emergency response improvement project; and (3) automated collision tracking and analysis including a geographical information system (GIS). *These samples are provided only as a guide to developing your own grant concept paper.*

In addition to the sample concept papers, the OTS “Blueprint” is available on the OTS website (www.ots.ca.gov/grants/blueprints.asp). The “Blueprint” is an excellent resource for formulating your grant concept. The “Blueprint” provides time-tested, best practice goal and objective activities. They also facilitate the development of a comprehensive grant by providing potential grantees guidelines to pre-assess the completeness and comprehensiveness of their traffic safety concept. The “Blueprint” incorporates the established traffic safety priority areas: alcohol and other drugs, emergency medical services, occupant protection, pedestrian and bicycle safety, police traffic services, and traffic records and roadway safety.

Also included on the OTS website are OTS Collision Rankings (www.ots.ca.gov/grants/rankingsEx.asp) for large and medium population jurisdictions. An element of identifying a traffic safety problem should include consulting this OTS data source. OTS, using data from the Statewide Integrated Traffic Records System (SWITRS) maintained by the California Highway Patrol, has developed collision rates for California cities and counties. The rates are

calculated for population and vehicle miles of travel. Cities within population groupings are contrasted to determine if their collision rates are above or below the mean for cities in their category. Instructions for interpreting the collision ranking data are also included on the website.

HOW TO APPLY

Applying for an OTS grant begins with submission of a concept paper. The paper should be no longer than five pages including the cover page and budget (does not include letters of support from partnering agencies). The print font should be no smaller than "10." The concept paper is to be submitted as an attachment to a cover letter prepared on your agency letterhead. Concept papers must be postmarked by **January 31, 2004**. OTS will not accept concepts that are faxed or e-mailed. Please mail the original concept paper and two copies (all three hole-punched) to:

**Office of Traffic Safety
7000 Franklin Boulevard, Suite 440
Sacramento, CA 95823-1899**

COVER LETTER

The cover letter must be on agency letter and must be signed by a representative of your agency authorized to commit your agency to conduct the project should it be approved for funding.

CONCEPT PAPER ELEMENTS

Blank cover page and concept paper formats are provided following these narrative instructions. Blank cover page and concept paper templates are available on the OTS website (<http://www.ots.ca.gov/grants/applying.asp>). The templates may be adjusted to accommodate your particular concept paper as long as you adhere to instructions regarding overall length and required elements. There are no printed concept paper forms available from OTS.

The concept submission must contain the following elements:

- Cover Page (OTS-136)
- Concept Paper
 - Project Title
 - Agency
 - Proposed Beginning and Ending Dates
 - Problem Summary
 - Problem Statement
 - Proposed Solution
 - Performance Measures
 - Proposed Budget
 - Proposed Budget Narrative

Proposed Beginning and Ending Dates:

OTS grant funding is based on the federal fiscal year, which begins on October 1 and ends on September 30. Grants for the 2005 federal fiscal year cannot begin before October 1, 2004. Most OTS projects are for a one or two-year period.

To establish the dates, take into consideration elements of the objectives. For example, will personnel need to be trained prior to undertaking the objective? Do you need to hire personnel prior to starting project activities? Answers to these questions determine the total time necessary for accomplishing the project.

Upon selection, OTS staff will guide your agency in the development of a project agreement. Development of the agreement will begin prior to October 1, 2003. However, projects do not become effective until an official signed agreement is in place. It is incumbent upon the agency to develop and submit the documents timely to ensure an October 1 beginning date.

Problem Statement Summary:

Briefly summarize in one to two sentences the problem that this concept is designed to address. Example: The city of Anytown has experienced a 25 percent increase in alcohol-involved collisions since the year 2000. The majority of these collisions are caused by repeat DUI offenders.

Problem Statement:

Identify the traffic safety related problem or deficiency that the proposed project is intended to correct. Identify and gather appropriate data relevant to the problem. In addition to some data gathered by OTS, the data provided in the concept paper will be used to evaluate and rank your submission against those submitted from other agencies. Additionally, the data provided may be used as the baseline measurement for the goals and objectives of the program.

Collision data appropriate to the identified problem and a brief analysis of the data is required.

When available, three years of data should be presented and analyzed. When identifying the problem, take into consideration changes or projected changes in population, traffic patterns, and other demographic dynamics that may affect traffic safety.

If appropriate, data collection may include conducting surveys to establish pre-project baseline information. For example, you may need to conduct local surveys and compare local seat belt and child safety seat use rates to statewide rates. Conduct and report the findings from a local bicycle helmet use survey for riders between 5 to 18 years old. Consult OTS collision rankings and discuss any comparison drawn between your jurisdiction and similar jurisdictions. If accepted for funding, surveys will be required in the project agreement. Seatbelt, child safety seat, and bicycle helmet survey guidelines will be available on the OTS website by December 2003.

For regional EMS concepts, the problem statement must include the number of traffic collision responses, extrications, age of equipment, response times, and size of response areas.

The sample concept papers present collision data in a “table” format and request a narrative presentation of the data.

Proposed Solution:

Explain how you propose to solve the problem. Your solution should show a logical relationship to your identified problem. Items in your budget should correlate to your proposed solution.

Performance Measures:

Project goals and objectives should be stated in measurable terms, be concise and deal with a specific item, be realistic with a reasonable probability of achievement, and be related to a specific time frame (a “by” date). Establishing the “by date” assists in developing the full project agreement upon acceptance of the concept. These dates establish the full project timeline.

Goals serve as the foundation upon which the project is built. Goal(s) are what you hope to accomplish by implementing a traffic safety grant and represent an end result. Goal statements begin with the word “to” followed by an action verb, and must include a completion date.

1. To reduce the number of persons killed in traffic collisions 25% from the calendar 2002 base year total of 1,000 collisions to 750 by (date).
2. To reduce the number of persons killed in alcohol-involved collisions 10% from the calendar 2002 base year total of 250 to 225 by (date).
3. To reduce hit and run fatal and injury collisions 10% from the calendar 2002 base year total of 100 to 90 by (date).
4. To reduce nighttime fatal and injury collisions 10% from the calendar 2002 base year total of 50 to 45 by (date).
5. To increase seat belt compliance 12 percentage points from the 2002 base year compliance rate of 75% to 87% by (date). (Pre and post surveys required).

Objectives are tasks or activities conducted in order to accomplish the project goal(s). Objectives also begin with the word “to” followed by an action verb, and must include a by date. e.g.:

1. To conduct # sobriety checkpoints by (date).
2. To conduct # warrant service program operations targeting multiple DUI offenders who violate terms of probation or fail to appear in court by (date).
3. To develop a “Hot Sheet” program to notify patrol and traffic officers to be on the lookout for identified multiple DUI offenders with outstanding warrants or who may be driving without a valid license by (date).
4. To conduct # “Court Sting” operations to cite individuals driving from court after having their license suspended or revoked.
5. To conduct “Real DUI Trials” at # three high schools by (date).
6. To conduct # “Reality Check” student press conferences involving high school journalism students by (date).
7. To conduct “Seat Belt Challenge” programs at # high schools by (date).
8. To conduct # seat belt enforcement operations.

Proposed Budget:

When preparing the proposed budget, care should be taken in estimating costs. Grant costs must be reasonable and proportional to the stated problem.

Obtain appropriate estimates from vendors, and include tax, delivery, shipping, and set-up costs. Attempt to anticipate increases in costs that may occur between the time the grant is proposed and the grant start date. It is strongly recommended that you request assistance from your financial office to estimate accurate program costs.

Allowable costs are discussed in the *Grant Program Manual, Volume II, Chapter 2* (www.ots.ca.gov/grants/program.asp). This publication is available on the OTS website. Additional funding criteria are included as an attachment to these instructions. ***Grant costs must be divided between federal fiscal years as appropriate considering the project starting and ending dates.*** Please note the comments regarding the proposed budget fiscal year dates included on the blank concept paper format that is attached.

Budget categories are:

Personnel Costs - Include the position title, the monthly salary, and percentage applicable to the project. If the employee is paid on a hourly basis, include the hourly rate and the number of hours to be paid. Reasonable cost of living increases or merit increases should be estimated and included. Extend computations to fiscal year columns. Benefits must be listed as a separate line item. List the percentage in the "Budget Category" column and the amounts in the fiscal year columns. If your concept paper is accepted for funding, you will be asked to itemize the benefit rate quoted.

Travel Expense - Enter estimated cost of travel related to the project. Cost items include transportation and per diem and must be segregated into "in-state" and "out-of-state" travel. Include travel costs associated with attending OTS sponsored conferences and seminars, e.g., the OTS Traffic Safety Summit and the Police Traffic Services Seminar.

Contractual Services - Enter estimated cost of work that will be performed by each consultant firm or person secured on contract from another agency to work on the project. Do not list firm, agency, or individual's names. Use descriptive titles such as "Child Passenger Safety Training," "Data Consulting," "Evaluation Services," "Program Manager," "Allied Agency Participation," etc.

Equipment - Enter the estimated cost of each equipment item to be purchased over \$5,000 (including taxes, shipping, etc.).

Other Direct Costs - These costs include all other direct costs. They may include, but are not limited to items such as office supplies, printing, radar units, computers, child safety seats, safety helmets, and educational materials. Include items with a unit cost less than \$5,000 including taxes, shipping, etc.

Indirect Costs - Costs which, by their nature, cannot be charged directly to a project. Indirect costs are an allowable cost for projects but are not encouraged. An agency must have a federally approved cost allocation plan and/or an OTS approved indirect cost rate proposal to be reimbursed for indirect costs. In addition, documentation must be available to support the rate and any periodic adjustment. All indirect cost allocation plans or indirect cost proposals must be submitted to OTS with the draft Project Agreement. In accordance with permissible limits of federal funding guidelines (OMB Circular A-87),

OTS has adopted the indirect cost reimbursement policy contained in *Grant Program Manual, Volume II, Chapter 2*. Consult this publication, available on the OTS website, to determine the appropriate indirect cost rate for the grant you are proposing.

Proposed Budget Narrative:

This schedule is a narrative explanation and justification of individual expenditures outlined in the Proposed Budget. The Budget Narrative should be complete, covering all cost categories and individual line-items reflected in the Proposed Budget.

Personnel Costs - Explain duties and salaries for all personnel identified in the Proposed Budget.

Travel Expenses - Identify proposed major “traffic safety related” trips to be funded under this project.

Contractual Services - Provide a brief description of the work each consultant firm, agency, or person will provide. Use the descriptive name(s) used in the Proposed Budget.

Equipment - Provide a brief description of each item identified in the Proposed Budget and its intended use. Do not list equipment brand names. Only include equipment with a unit cost greater than \$5,000.

Other Direct Costs - Provide a brief description of each item identified in the Proposed Budget and its intended purpose.

Indirect Costs - Indicate the rate used and how it’s applied in this concept.

LETTERS OF SUPPORT

Local Benefit Concepts

A ***state department*** that submits a concept paper for a project that is not a statewide effort and focuses on specific locations in the state is considered “for local benefit.” Evidence of consent and acceptance of the work, goods, or services provided by the state on behalf of a local government must be submitted to OTS. Examples of documents that constitute “consent and acceptance” are:

- A signed letter from the city or county, on city or county letterhead, which specifically identifies the project and affirms either that the city or county has had an active voice in the initiation, development, and implementation of the particular project; that the city or county has requested the benefits of the program as part of the local government's highway safety program; or the city or county consents to the project and accepts the work, goods, or services provided through the project. (A sample letter is attached.)
- A project that has subgrants to local entities through the *Request for Proposal (RFP)* process, a copy of the local agency response to the RFP, signed by a representative of the city or county, including their planned activities and proposed budget. The RFP should include language that states a response to the RFP constitutes consent to the project and acceptance of the work, goods, or services provided through the project.
- A signed copy of the agreement/contract between your agency and the subgrantee which includes, as an element of the contract, a statement affirming either that the city or county has had an active voice in the initiation, development, and implementation of the particular project; that the city or

county requested the benefits of the program as part of the local government's highway safety program; or the city or county consents to the project and accepts the work, goods, or services provided through the project.

- A resolution from the city council or county board of supervisors which expresses support for the project.

If the “local consent and acceptance” documentation cannot be provided at the time of submission of a concept paper, acknowledgement of the requirement to provide such documentation must be included. This acknowledgement may be provided in the cover letter or in the body of the concept paper if space allows.

Multi Agency Concepts

A **local agency** that submits a concept paper for a project that includes the involvement of other agencies within their community will be required to submit letters of support from those agencies. Program examples are: An “*Avoid*” concept that includes the cooperation of multiple enforcement agencies; or a project from a Health Department that wants to conduct educational efforts within the school system. Some of these projects may require contractual agreements to implement once the agreement is signed, while others will require simply a support letter.

Letters of support must be submitted with the concept package.